

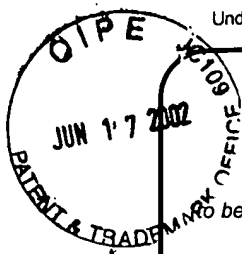
Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB/0651-0031

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TRANSMITTAL FORM

No be used for all correspondence after initial filing)

Application Number 09/970,555

Filing Date October 4, 2001

First Named Inventor Victor F. Petrenko

Group Art Unit 3742

Examiner Name Unknown

Total Number of Pages in This Submission

4

Attorney Docket Number 392500

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JUN 20 2002

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ENCLOSURES (check all that apply)

☒ Fee Transmittal Form

☒ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/ Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) _____

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify below):

1. Deficiency Payment to Correct Error in Small Entity Status - Rule 1.28

2. Certificate of Mailing

3. Return Postcard

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Thomas Swenson
Lathrop & Gage, L.C.

Signature

Thomas Swenson

Date

June 3, 2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: June 3, 2002

Typed or printed name

Carol J. Dunkel

Signature

Carol J. Dunkel

Date

June 3, 2002

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Victor F. Petrenko
Application No.: 09/970,555
Filed: October 4, 2001

Attorney Docket No. 392500
Group No.: 3742
Examiner: Unknown

For: PREVENTION OF ICE FORMATION BY APPLYING ELECTRIC POWER TO A LIQUID
WATER LAYER

Assistant Commissioner for Patents
Washington, D.C. 20231

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DEFICIENCY PAYMENT TO CORRECT ERROR IN SMALL ENTITY STATUS

Pursuant to 37 CFR 1.28(c)(1) and (2) an itemization and payment of deficiency owed are hereby submitted. The undersigned attorney requests under § 1.28(d) that the deficiency payment be treated as a notification under § 1.27(g)(2) of the loss of entitlement to small entity status.

Fee Description	Date	Fee Paid	Corrected Fee Amount	Deficiency Due
Basic Filing Fee	10/04/01	\$355.00	\$740.00	\$385.00
Extra Claims Fees	10/04/01			
42 Total Claims		\$ 198.00	\$396.00	\$198.00
3 Independent Claims		\$ 0.00	\$ 0.00	\$ 0.00
Total Deficiency Payment Owed:				\$583.00

A deficiency payment in the amount of \$583.00 is enclosed. If any additional amount is due, please charge Deposit Account No. 12-0600.

Adjustment date: 06/20/2002 AMONDAF1
10/09/2001 EFLORES 00000044 120600 09970555
01 FC:201 -370.00 OP

Adjustment date: 06/20/2002 AMONDAF1
10/09/2001 EFLORES 00000044 120600 09970555
03 FC:203 15.00 CR -183.00 OP

06/20/2002 AMONDAF1 00000037 09970555

01 FC:101 740.00 OP
02 FC:103 396.00 OP

Respectfully submitted,

By: Thomas Swenson
Thomas Swenson, Reg. No. 36,696
Lathrop & Gage, L.C.
4845 Pearl East Circle, #300
Boulder, CO 80301
Telephone: (303) 449-5800
Facsimile: (303) 443-6998

CERTIFICATE UNDER 37 C.F.R. 1.8(a) and 1.10

I hereby certify that, on the date shown below, this correspondence is being deposited with the United States Postal Service in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 with sufficient postage:

MAILING

37 CFR 1.8(a) a
as First Class Mail

Date
June 3 2002

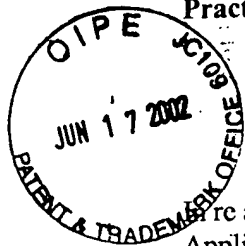
37 CFR 1.10
as Express Mail Post Office to Addressee
EXPRESS MAIL NO.

Carol J. Dunkel
Carol J. Dunkel

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Practitioner's Docket No. 392500

PATENT



IN THE UNITED STATES PATENT OFFICE

Re application of: Victor F. Petrenko
Application No.: 09/970,555
Filed: October 4, 2001
Group No.: 3742
Examiner: Unknown

For: PREVENTION OF ICE FORMATION BY APPLYING ELECTRIC POWER TO A LIQUID WATER LAYER

CERTIFICATE OF MAILING

Date of Deposit: June 3, 2002

I hereby state that the following *attached* papers:

Commissioner for Patents
Washington, D.C. 20231

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1. Transmittal Form [1 page]
2. Fee Transmittal for FY 2002 [1 page]
3. Deficiency Payment to Correct Error in Small Entity Status [1 page]
4. Check No.2572 in the amount of \$583.00 for total deficiency owed
5. Certificate of Mailing, [1 page]
6. Return Postcard [1].

are being deposited with the United States Postal Service as First Class Mail service under 37 CFR 1.8 in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231.


Carol J. Dunkel

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JUN 17 2002

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 583

Complete If Known

Application Number 09/970,555
Filing Date October 4, 2001
First Named Inventor Victor F. Petrenko
Examiner Name Unknown
Group / Art Unit 3742
Attorney Docket No. 392500

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JUN 20 2002
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METHOD OF PAYMENT (check one)					FEE CALCULATION (continued)																																																																																																																																																																																		
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number: 12-0600</p> <p>Deposit Account Name: Lathrop & Gage, L.C.</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p>					<p>3. ADDITIONAL FEES</p> <table border="1"><thead><tr><th>Fee Code</th><th>Large Entity Fee (\$)</th><th>Small Entity Fee Code</th><th>Small Entity Fee (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr><tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr><tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr><tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr><tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr><tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr><tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr><tr><td>116</td><td>400</td><td>216</td><td>200</td><td>Extension for reply within second month</td><td></td></tr><tr><td>117</td><td>920</td><td>217</td><td>460</td><td>Extension for reply within third month</td><td></td></tr><tr><td>118</td><td>1,440</td><td>218</td><td>720</td><td>Extension for reply within fourth month</td><td></td></tr><tr><td>128</td><td>1,960</td><td>228</td><td>980</td><td>Extension for reply within fifth month</td><td></td></tr><tr><td>119</td><td>320</td><td>219</td><td>160</td><td>Notice of Appeal</td><td></td></tr><tr><td>120</td><td>320</td><td>220</td><td>160</td><td>Filing a brief in support of an appeal</td><td></td></tr><tr><td>121</td><td>280</td><td>221</td><td>140</td><td>Request for oral hearing</td><td></td></tr><tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr><tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr><tr><td>141</td><td>1,280</td><td>241</td><td>640</td><td>Petition to revive - unintentional</td><td></td></tr><tr><td>142</td><td>1,280</td><td>242</td><td>640</td><td>Utility issue fee (or reissue)</td><td></td></tr><tr><td>143</td><td>460</td><td>243</td><td>230</td><td>Design issue fee</td><td></td></tr><tr><td>144</td><td>620</td><td>244</td><td>310</td><td>Plant issue fee</td><td></td></tr><tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr><tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Processing fee under 37 CFR 1.17 (q)</td><td></td></tr><tr><td>126</td><td>180</td><td>126</td><td>180</td><td>Submission of Information Disclosure Stmt</td><td></td></tr><tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr><tr><td>146</td><td>740</td><td>246</td><td>370</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr><tr><td>149</td><td>740</td><td>249</td><td>370</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr><tr><td>179</td><td>740</td><td>279</td><td>370</td><td>Request for Continued Examination (RCE)</td><td></td></tr><tr><td>169</td><td>900</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr></tbody></table>					Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - 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<p>FEE CALCULATION</p> <p>1. BASIC FILING FEE</p> <table border="1"><thead><tr><th>Large Fee Code</th><th>Entity Fee (\$)</th><th>Small Fee Code</th><th>Entity Fee (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>101</td><td>740</td><td>201</td><td>370</td><td>Utility filing fee</td><td></td></tr><tr><td>106</td><td>330</td><td>206</td><td>165</td><td>Design filing fee</td><td></td></tr><tr><td>107</td><td>510</td><td>207</td><td>255</td><td>Plant filing fee</td><td></td></tr><tr><td>108</td><td>740</td><td>208</td><td>370</td><td>Reissue filing fee</td><td></td></tr><tr><td>114</td><td>160</td><td>214</td><td>80</td><td>Provisional filing fee</td><td></td></tr></tbody></table> <p>SUBTOTAL (1) (\$) 0</p>					Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	101	740	201	370	Utility filing fee		106	330	206	165	Design filing fee		107	510	207	255	Plant filing fee		108	740	208	370	Reissue filing fee		114	160	214	80	Provisional filing fee																																																																																																																																																
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<p>2. EXTRA CLAIM FEES</p> <table border="1"><thead><tr><th>Total Claims</th><th>Extra Claims</th><th>Fee from below</th><th>Fee Paid</th></tr></thead><tbody><tr><td>Independent Claims</td><td>-20 ** = 0</td><td>X</td><td>0</td></tr><tr><td>Multiple Dependent Claims</td><td>-3 ** = 0</td><td>X</td><td>0</td></tr></tbody></table> <p>Large Entity Fee Code 103 18 203 9 Claims in excess of 20</p> <p>Large Entity Fee Code 102 84 202 42 Independent claims in excess of 3</p> <p>Large Entity Fee Code 104 280 204 140 Multiple dependent claim, if not paid</p> <p>Large Entity Fee Code 109 84 209 42 ** Reissue independent claims over original patent</p> <p>Large Entity Fee Code 110 18 210 9 ** Reissue claims in excess of 20 and over original patent</p> <p>SUBTOTAL (2) (\$) 0</p>					Total Claims	Extra Claims	Fee from below	Fee Paid	Independent Claims	-20 ** = 0	X	0	Multiple Dependent Claims	-3 ** = 0	X	0																																																																																																																																																																							
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SUBMITTED BY			Complete (if applicable)		
Name (Print/Type)	Thomas Swenson	Registration No. Attorney/Agent	36,696*	Telephone	(303) 449-5800
Signature				Date	June 3, 2002

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